

REMARKS***Claim rejections – 35 USC §112***

Claims 1 and 13 were rejected under 35 USC §112, because the Examiner says that "the specification does not disclose the step of checking whether the document producer is authorized to produce the document".

However, it is respectfully pointed out that on page 5 the specification clearly discloses that the central server 104 performs a "check to confirm that the tester and the vehicle test station are duly authorized to perform the test". It is respectfully submitted that it would be clear to one skilled in the art that a tester and a vehicle test station that are duly authorized to perform the test are *ipso facto* authorized to produce the test certificate, and that a test certificate can only be validly produced by a tester and vehicle test station that are duly authorized to perform the test. Hence, it is respectfully submitted that claims 1 and 13 clearly satisfy the requirements of 35 USC §112.

New independent claim 16 is directed to a method for authenticating a printed test certificate and recites the step of checking whether the test certificate producer is authorized to perform the test. Hence, the rejection under 35 USC §112 clearly does not apply to this claim.

Claim rejections – 35 USC §102

Claims 1-11 and 13-15 were rejected under 35 USC §102 as being anticipated by Kocher (U.S. Patent no 6,188,766). However, it is respectfully submitted that the invention as claimed is clearly patentably distinguished from the Kocher reference.

Kocher describes an apparatus and method for confirming, timestamping and archiving printer and telecopier documents. A user sends a document via facsimile to a trusted timestamping service (TTS). The TTS computes a timestamp and digitally archives the document with the timestamp. The TTS then sends a submission receipt via facsimile to the user, confirming the transaction (column 3, lines 33-55). The receipt includes a copy (typically reduced size) of the document images so that the user can confirm that the document images were received properly. The receipt also includes a document identification value DIV or telecopier transmission identifier TTI to identify the document (column 8, lines 22-30). When a requester wishes to verify the integrity of the document, they contact the TTS with the DIV/TTI of the document, for example by faxing the first page of the submission receipt (column 10, lines 10-15). The TTS uses this DIV/TTI to retrieve the archived document, and verifies the timestamp on the archived digital document (column 10, lines 27-46). The TTS then returns a timestamp verification to the requester, by fax for example. The timestamp verification includes a human-readable indication of when the document was originally timestamped, and an image of the document (column 10, lines 47-53).

It is respectfully submitted that the method as described by Kocher is fundamentally different from the invention as claimed in the present claims, in that Kocher does not print a document including an authentication code which allows a document checker to verify the authenticity of the printed document.

It is respectfully submitted that it is unclear from the office action which "document" in Kocher is being identified with the "printed document" of the present claim 1. The following documents are described in Kocher:

- a) The original paper document that the user sends by fax to the TTS service.
However, it should be noted that neither the DIV/TTI nor the timestamp, nor

anything else that might be identified as an authentication code, is ever printed on this original document.

- b) The digital document that is archived by the TTS service, along with a timestamp (column 8, 2nd paragraph). This is clearly not a printed document.
- c) The submission receipt, which the TTS service returns to the user (column 8, 3rd paragraph). This receipt includes the DIV/TTI and optionally a timestamp. As described in column 10, 2nd paragraph, a requester who wishes to verify the timestamp on a document can send the DIV/TTI to the TTS service. The TTS service uses the DIV/TTI to identify and access the archived digital document, and then verifies the timestamp on the archived digital document. However, there is clearly no suggestion here of checking any code within the submission receipt against information in the receipt, to determine whether the receipt is authentic.
- d) The timestamp verification determination that is returned to the requester (column 10, last paragraph). Again, there is clearly no suggestion here of checking any code within the timestamp verification against information in the timestamp verification, to determine whether the timestamp verification is authentic.

Thus, it is respectfully submitted that it is clearly not possible to identify a printed document within the Kocher description that is generated and processed in the manner claimed in claim 1.

Furthermore, it is respectfully submitted that Kocher is concerned with a completely different problem from that of the present invention. Kocher is concerned with enabling a requester to confirm that a particular document was in existence on a certain date, and that it has not been subsequently modified. In contrast, the present invention is concerned with verifying the authenticity of a printed document. To see this difference more clearly, consider the case where a user submits a document, such as a legal contract to Kocher's TTS service. The TTS service can

confirm that the document was submitted on a certain date, and that the archived digital copy has not been modified. But the TTS service cannot confirm whether or not the original legal contract submitted to it was a forgery. The TTS service is of no assistance in this respect.

In reply to the Response to Arguments on pages 8-10 of the office action, the Applicant respectfully submits as follows.

In reply to section 10 on page 8 of the office action, it is agreed that Kocher (column 8, lines 42-47, 52-53) describes returning a submission receipt to the sender to verify to the user that the document the user submitted to the TTS was successfully received. The submission receipt includes a DIV (or other TTI). Kocher also teaches that other information can also be included on or with the submission receipt, including cryptographic hashes and/or timestamps. However, it is respectfully submitted that there is clearly nothing in Kocher to suggest that these values included in the submission receipt provide any confirmation of the authenticity of the submission receipt. Moreover, there is clearly no suggestion in Kocher of checking the DIV/TTI or timestamp within the submission receipt against information in the receipt, to determine whether the receipt is authentic.

In reply to section 11 on page 9 of the office action, it is agreed that Kocher's TTS checks whether the user is authorized to use the TTS system (Kocher, column 7, lines 10-46). However, it is respectfully submitted that this is clearly not the same as checking whether the user is authorized to produce the document. The purpose of the TTS is to provide a way of proving that the document was in existence at a given time (Kocher, Abstract, lines 12-15), but does not confirm that the document was authentic. The fact that a user is authorized to use the TTS service for archiving does not mean that the user is authorized to print a share certificate, for example.

In reply to section 12 on page 9 of the office action, it is agreed that Kocher (column 3, lines 48-52) describes the use of a document identification value (DIV) or other telecopier transmission identifier (TTI) in a submission receipt to identify the document. Kocher (column 10, lines 38-46) also describes constructing a digital timestamp using an RSA signature and verifying it by operating on the timestamp with the public key corresponding to the digital signing key used by the timestamp computation, and verifying that the result corresponds to the cryptographic hash of the combination of the archived digital document data and time indicator.

However, it is respectfully submitted that it is clear that the DIV/TTI described here only identifies the document or transaction, and cannot be used to determine whether or not the submission receipt is authentic. Moreover, the digital timestamp merely verifies that the archived digital document has not been altered subsequent to it being archived. It clearly does not verify the authenticity of any printed document: if the original document was a forgery, it will remain a forgery, even if the timestamp is successfully verified.

Regarding claims 3 - 5, it is respectfully submitted that there is absolutely no suggestion in Kocher of including a pre-printed serial number in a document, and of using this number in generating an authentication code.

In reply to section 13 on page 9 of the office action, it is agreed that Kocher (column 7, lines 31-33) describes the use of serial numbers and other information contained in control messages sent during facsimile transmission to identify the document sender, and (column 8 line 58) the use of serial numbers (e.g. the total number of documents and pages received by the TTS from the document's sender) to help the service later show whether a set of documents received from a particular user during a particular time period is complete. However, there is absolutely no suggestion that these serial numbers are pre-printed on any document. On the contrary, it is

submitted that these serial numbers are clearly generated by the system when the user submits the document.

Regarding claims 6 – 10, it is respectfully submitted that Kocher clearly does not teach steps for checking the authenticity of a printed document, by comparing an authentication code in that printed document with a check code generated from information in the printed document, as claimed.

In reply to section 14 on page 10 of the office action, it is agreed that Kocher (column 10, lines 36-46) describes cryptographically verifying a timestamp, and returning an error if timestamp verification fails. However, it is respectfully submitted that this clearly does not verify the authenticity of any printed document, but merely verifies that the timestamp and the contents of the archived electronic document have not been altered or tampered with.

Regarding claims 13 – 15, as noted by the examiner, these are apparatus claims corresponding to the method claims, and it is respectfully submitted that the above arguments apply equally to these claims. Similar arguments apply also to the new independent claim 16. Therefore, no new issues are raised by the addition of claim 16.

Claim rejections – 35 USC §103

Claim 12 was rejected as being unpatentable over Kocher in view of the Verisign Certification Practice Statement version 1.2.

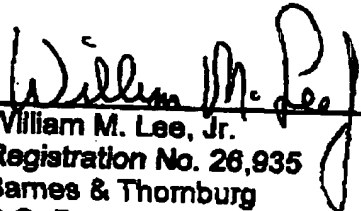
Claim 12 has been cancelled, and so it is no longer necessary to consider this rejection.

Conclusion

In summary, it is submitted that this application is now clearly in order for allowance and such action is respectfully solicited. No fee is due, as the total number of claims is 15 and there are three independent claims.

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Respectfully submitted,


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